

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/918,115	07/30/2001	2811	710	16090-23	3	18	1

CONFIRMATION NO. 2594

FILING RECEIPT



OC00000006516019

Clifford W. Browning
Woodard, Emhardt, Naughton, Moriarty & McNett
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, IN 46204

Date Mailed: 09/05/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Saint Sulpice, Switzerland
Michael Graetzel, ~~Residence Not Provided~~;
Robert Plass, ~~Residence Not Provided~~; *Versoix, Switzerland*
Udo Bach, ~~Residence Not Provided~~; *4. Dublin, Ireland*

Domestic Priority data as claimed by applicant

Foreign Applications

EUROPEAN PATENT OFFICE (EPO) 00810681.7 07/28/2000

If Required, Foreign Filing License Granted 09/05/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Solid state heterojunction and solid state sensitized photovoltaic cell

Preliminary Class

RECEIVED

SEP 10 2001

257

Data entry by : MUSLIM, ALIA

Team : OIPE

Dat : 09/05/2001



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/918,115	07/30/2001	Michael Graetzel	16090-23

CONFIRMATION NO. 2594

FORMALITIES LETTER



OC000000006516020

Clifford W. Browning
Woodard, Emhardt, Naughton, Moriarty & McNett
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, IN 46204

Date Mailed: 09/05/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

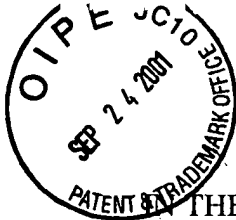
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

AM

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#3

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent)	Before the Examiner
application of:)	
)	
Michael Graetzel et al.)	Group Art Unit
)	
Serial No. 09/918,115)	
)	
Filed July 30, 2001)	
)	
SOLID STATE HETEROJUNCTION AND)	
SOLID STATE SENSITIZED PHOTOVOLTAIC)	
CELL)	September 20, 2001

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF NONPROVISIONAL APPLICATION**

BOX MISSING PARTS
Commissioner For Patents
Washington, D.C. 20231

Sir:

On July 30, 2001, the above-identified nonprovisional patent application was filed by Express Mail (Receipt No. EL210001200US) without a declaration under 37 CFR 1.63. In response to the Notice To File Missing Parts of Nonprovisional Application Under 37 CFR 1.53(b) mailed September 5, 2001, enclosed herewith is a copy of a Transmittal of Declarations of Inventors Michael Graetzel, Robert Plass, and Udo Bach filed by Express Mail (Receipt No. EL210000941US) on August 23, 2001, together with a copy of the return post card

I hereby certify this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C., 20231 on **September 20, 2001**.

Clifford W. Browning
Name of Registered Representative


Clifford W. Browning
Signature

September 20, 2001
Date

acknowledging receipt by the U.S. Patent and Trademark Office. No Extensions of Time are believed to be necessary, but if any are deemed to be due, please charge the fees therefore to Deposit Account 23-3030.

Also enclosed herewith is a copy of the official Filing Receipt with requested corrections noted thereon.

Respectfully submitted,

By 
Clifford W. Browning
Reg. No. 32,201
Woodard, Emhardt, Naughton,
Moriarty & McNett
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, Indiana 46204-5137
(317) 634-3456

#141695



Before the Examiner

Group Art Unit

• •

August 23, 2001

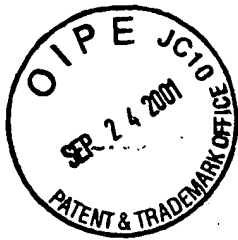
Signature of person mailing paper or fee

No additional fees are believed to be due, but if any additional fees are deemed required, please charge such fees to Deposit Account No. 23-3030.

Respectfully submitted

By: Clifford W. Browning
Clifford W. Browning
Reg. No. 32,201
Woodard, Emhardt, Naughton,
Moriarty & McNett
Bank One Center/Tower
111 Monument Circle, Suite 3700
Indianapolis, Indiana 46204-5137
(317) 634-3456

#141115



Matter No. 16090-23

Initials: CWB/slh 9-6-2001

PLEASE RETURN THIS CARD

(XX) Patent () Trademark
() Copyright

Serial No. 09/918,111

Applicant: GRAETZEL et



- () Application
(X) Check for \$ 130
() _____ sheets of drawing(s)
() Small Entity Declaration
(X) Declaration & Power of Atty.
() Assignment
() Amendment
() Req. for Extension of Time
() Specimens
() Information Disclosure Statement
(X) Transmittal of Declaration
() _____
() _____

Receipt of the attached is
acknowledged.

EL210000941US